Records Manager User Guide

Federal Docket Management System

2016

Developed for:

eRulemaking Program Management Office
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Table of Contents

List of Figures

Revision Log

Date	Version No.	Description	Author	Reviewer	Review Date
10/24/16	1.0	Migrated to the new template	Grace Reddish	Crystal Vitagliano	11/16/16

Introduction

The Federal Docket Management System (FDMS) provides agencies with the ability to retain Rulemaking and Nonrulemaking Documents as records. Records can be held temporarily or permanently based on the individual agency file plans and record schedules.

The FDMS Records Management functionality is compliant with the DoD 5015.2 Standard. Each agency will determine at what point (date/time) the records functionality will be enabled. Records Management is a day-forward function, however, the ability to apply the records functionality on a docket-by-docket basis, and to previously created Dockets, is also available.

The DoD Standard sets forth mandatory baseline functional requirements for Records Management Application (RMA) software used in the implementation of records management programs; defines required system interfaces and search criteria to be supported by the RMAs; and describes the minimum records management requirements that must be met, based on current National Archives and Records Administration (NARA) regulations.

Agency users can perform the following record actions in the FDMS, depending on the role:

- Association of a File Plan/Records Schedule to a docket for all records in the docket
- Declaration of records:
    - Auto-declaration through the Posting function
    - Manual declaration of records
- Management of records, including:
    - Changing the File Plan/Records Schedule
    - Un-declaring a record
    - Applying and removing markups at the docket level
    - Setting the Retention at the docket level

Notes

Records Manager Admin Functions

The Records Administration functionalities are located in the Admin Module, accessible by a link under the Home tab in FDMS. The **Records Manager** can perform some of the functions of a **Docket Manager**, such as **Adding Dockets** and **Posting Documents**, with the addition of Records responsibilities which includes:

- Declare/Un-declare records
- Add/Remove Markups
- Set/Remove Retention
- Access/Run Records Report

Once a Records Manager is established, the user can delegate certain Records tasks to Admins and Docket Managers. In addition to these functions, users with delegated Records functionality have access to the Records Admin functions in the Admin Module.

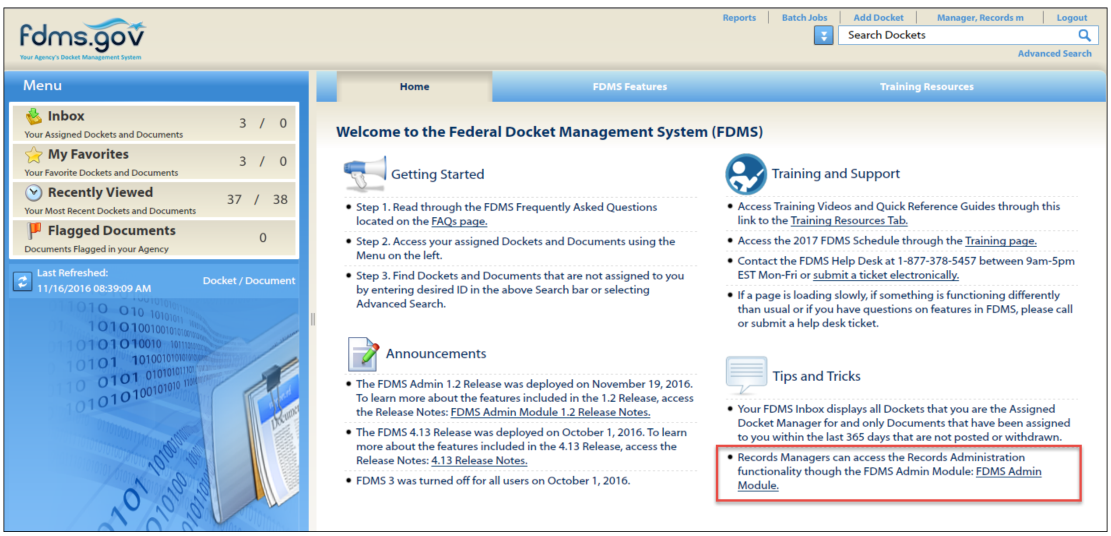

Figure 1: Records Admin Link on the Homepage

Accessing Records Admin Functions

1. From the FDMS Homepage click the Admin Module link under Tips and Tricks on the Home tab.
2. The **Markups** and **Delegate options** will display in the menu.

Note: Users with Markup Administration functionality delegated will be able to access the Markups option in the FDMS Admin module.

3. Select the desired option to make changes.

Notes

Records Markups

The **Markups** section allows Records Managers and delegated users to add, edit, and remove agency specific markups in FDMS. Please note that Read Only fields can be changed with assistance from the Help Desk. Markups are configured in two areas:

- **Markup Details:** Users are required to provide a Markup ID and Name for a new Markup. Adding a Description for the new Markup is optional.
- **Type:** The new Markup can be designated as either a Hold or a Freeze (See the **Markups Tab** section under Managing Records at the Docket Level for further details).

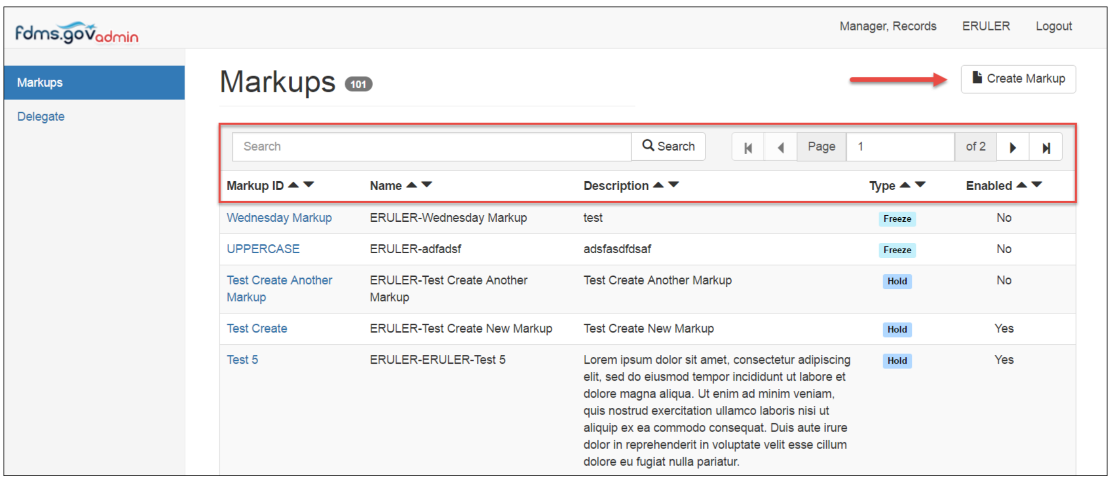

Figure 2: Markup Screen

Creating and Managing Markups

1. Click the **Create Markup** button located at the top right corner of the Markups list screen.
2. Enter the appropriate details.
3. Click **Create** to add the markup.
4. To review and edit an existing markup, click on the Markup ID from the Markups screen.
5. From the Markup Details screen, click the **Edit Markup** button to make changes to the Markup details, the **Delete** button to delete the Markup, or the **Add Contact to Markup** button to add a new Contact.
6. To remove a contact click the ⊗ icon under the **Remove** column.

*Note: See the **Markups Tab** section under Managing Records at the Docket Level for further details.*

Notes

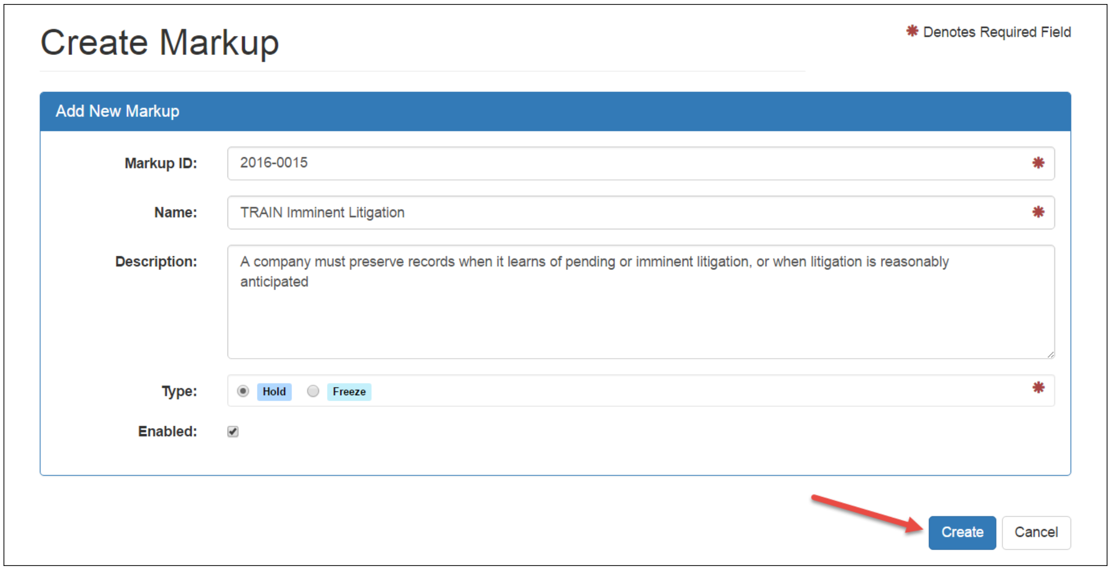

Figure 3: Creating a New Markup

Records Delegation

The Delegate section displays a list of all registered Admins and Docket Managers for the agency. Records Managers can delegate specific records functionality to any user on the list.

Delegate Markups Administration Functions

Delegating Records Administration functionality allows selected Agency Administrators and Docket Managers to access the Markups section. The users are then able to create new Markups or edit/update an existing Markup.

Delegate Un-declare & Retention Functions

Delegating records management functions gives selected Admins and Docket Managers the ability to un-declare a Record or set the retention period at the Docket level in FDMS.

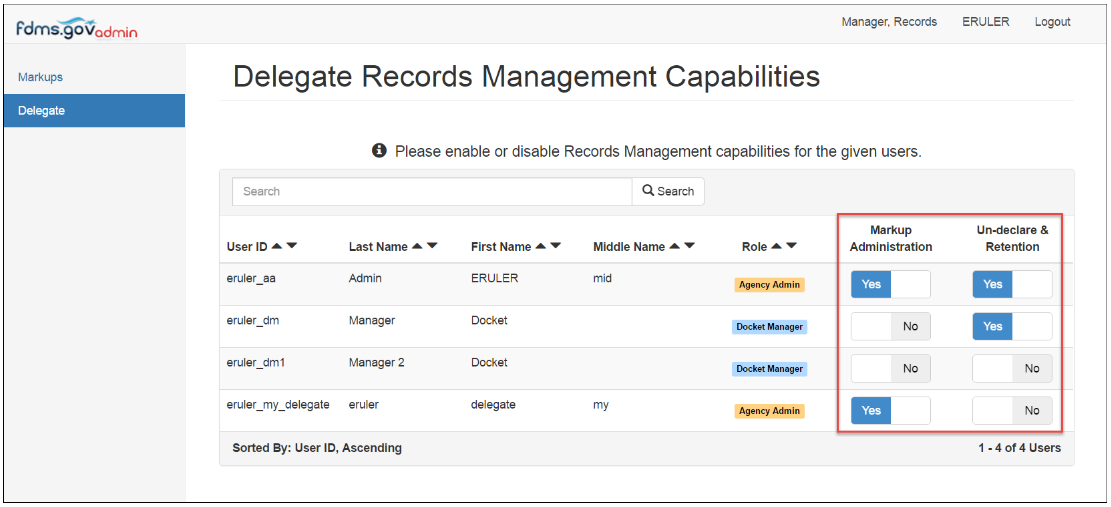

Figure 4: Delegating Records Management Capabilities

Delegating Records Functions

1. To authorize Markup Administration capabilities, click the toggle to display yes under the Markup Administration column next to the desired user.
2. To authorize Un-declare and Retention capabilities, click the toggle to display yes under the Un-declare and Retention column next to the desired user.

Note: The action is automatically saved and confirmed by a green banner at the top of the screen.

Notes

Notes

Records Management Functions

Selecting the File Plan/Records Schedule for a New Docket

Dockets can be quickly and easily created by **Agency Administrators, Docket Managers,** and **Records Managers**. The **Add Docket** link is located above the **Quick Search** bar.

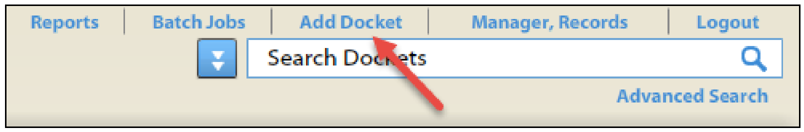

Figure 5: Add Docket Link

When creating a new Docket, a few basic docket attributes must be entered or selected such as **Title, Docket Type, Phase Name, RIN, Document Assignments Template** and the File Plan

One of the **FDMS Best Practices** requires a **RIN** (Regulatory Identification Number) to be applied to all **Rulemaking** Dockets. The **RIN** is then automatically applied to all documents uploaded to the Docket. Each regulatory action retains the same **RIN** throughout the entire rulemaking process.

All agency **File Plans/Records Schedules** are available to apply to both Rulemaking and Nonrulemaking Dockets. File Plans/Records Schedules are created with the assistance of the Help Desk.

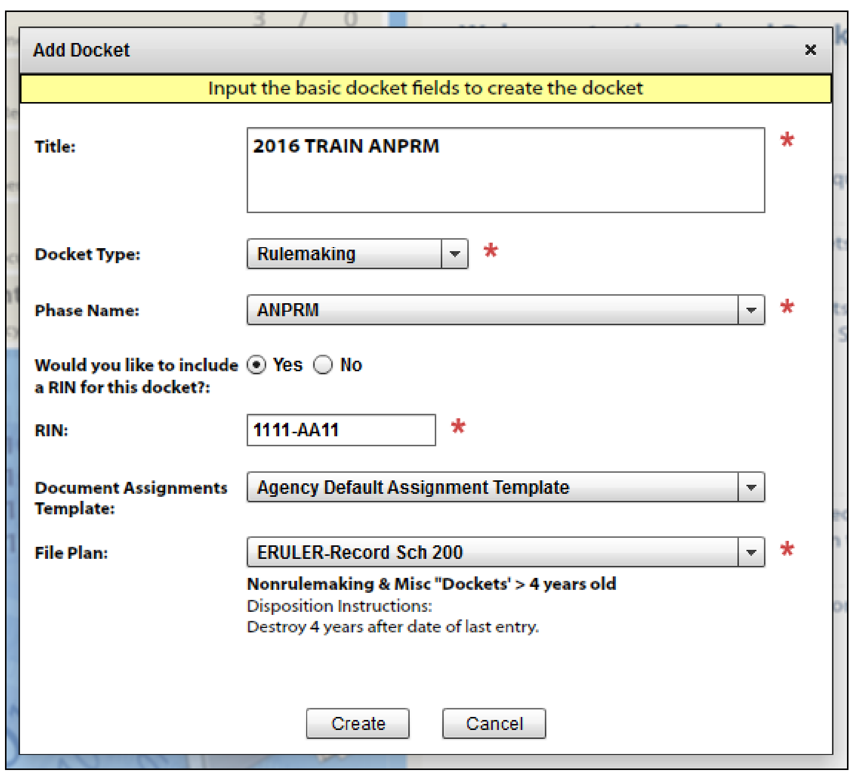

Figure 6: Add New Docket Window

Adding a Docket

1. Click the **Add Docket** link, the **Add Docket** pop-up window appears.
2. Enter the **Title** of the Docket.
3. Select the **Docket Type** from the dropdown.
4. Select the applicable **Phase Name** from the dropdown.
5. Click the **Yes** radio button if a **RIN** is available and enter the number. If the **RIN** is not available, select the **No** radio button and the field will display a value of **Not Assigned** (not shown here).

   Note: The RIN must be in the required standard format (e.g. ####-XX##, 1111-AA22) and can be added after the Docket has been created.
6. Select the desired **Document Assignments Template** from the dropdown.

   Note: Document Assignment Templates are created and managed by the Agency Administrator.
7. Select the applicable File Plan from the dropdown.

   Note: The File Plan selected applies to all declared records within the Docket.

   *Note: File Plan schedules can be changed prior to setting retention at the Docket level if the Docket does not contain any declared records (i.e. a published FR Document). See the **Managing Records at the Docket Level** section for details.*
8. Click the **Create** button to create the Docket.
9. The **New Docket** is displayed on the left (Docket List) and the **Docket Details** screen displays on the right.

   Note: To enable records for Dockets created before an agency implemented Records Management, please contact the Help Desk.

Notes

Managing Records at the Docket Level

Records can be managed at the Docket level through the Records and Markup tabs. Actions at the Docket level are only applied to the declared records within the Docket.

Records Tab

The Records tab displays the details of the File Plan/Records Schedule selected at the time the new Docket was added to FDMS. The default **Author** and the **NARA Job Number** are also displayed. Select fields can be updated from the Docket Records tab. To change information in a read only field contact the Help Desk.

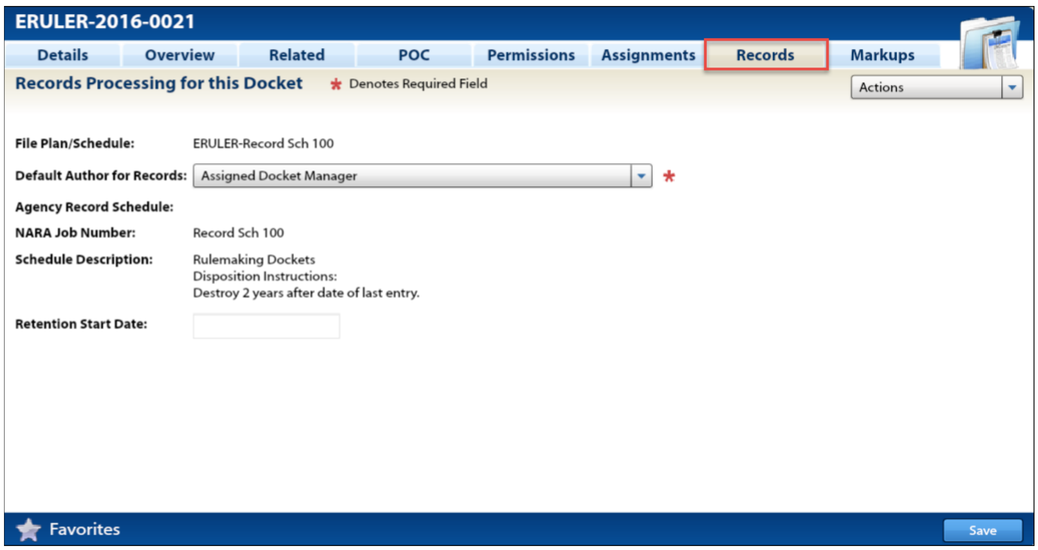

Figure 7: Records Tab

File Plans

Prior to setting the retention date, the File Plan/Records Schedule can be updated for a Docket if it does not contain any declared records. Once retention is started, all the fields on the File Plan tab are locked and cannot be altered.

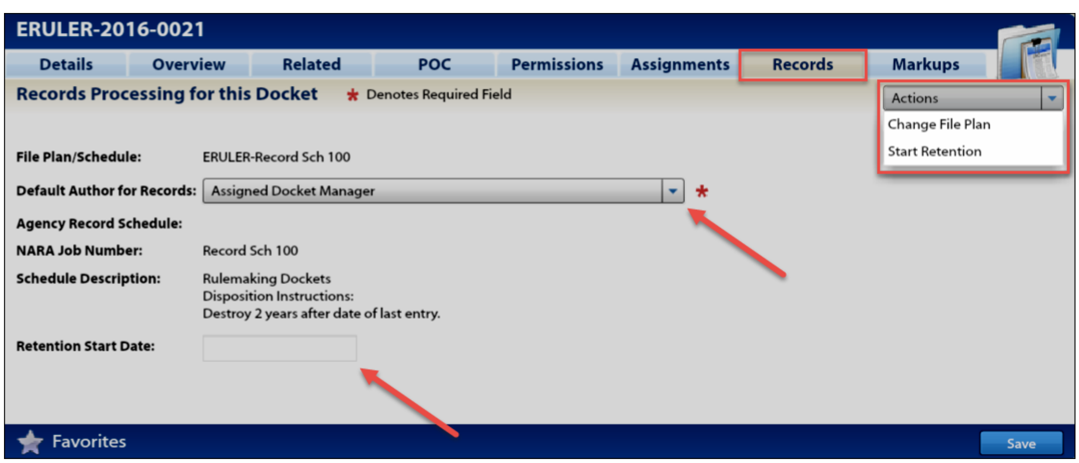

Figure 8: Change File Plan

Changing File Plan/Schedule

1. From the Actions dropdown select **Change File Plan**.
2. The Select File Plan pop-up window displays.
3. Select the appropriate File Plan from the dropdown and click **Ok**.
4. Click the **Save** button to confirm the update.

Note: Users can update the File Plan until the first record is declared or markup is applied, which freezes the File Plan. After this the Help Desk must be called to make any changes.

Default Author

Changing the Default Author for Records

1. Select the appropriate option from the Default Author for Records dropdown.

   *Note: If **Other** is selected a red text box appears to manually enter the author's name.*
2. Click the **Save** button to confirm the update.

Retention

Retention is the length of time a record must be kept because it is needed for ongoing business, to document an action, or for statutory reasons. The File Plan/Records Schedule provides the retention period details:

- Start Retention
- Change Retention
- Stop Retention

Markups Tab

Markups can be applied and removed at the Docket Level. Markups are applied to a Docket to prevent final disposition from occurring. Records that have a markup applied cannot reach final disposition until the markup is removed. There are two types of markups:

- **Hold:** prevents disposition or destruction of a record
- **Freeze:** prevents promotion to the next phase of retention (when multiple phases are used)

Notes

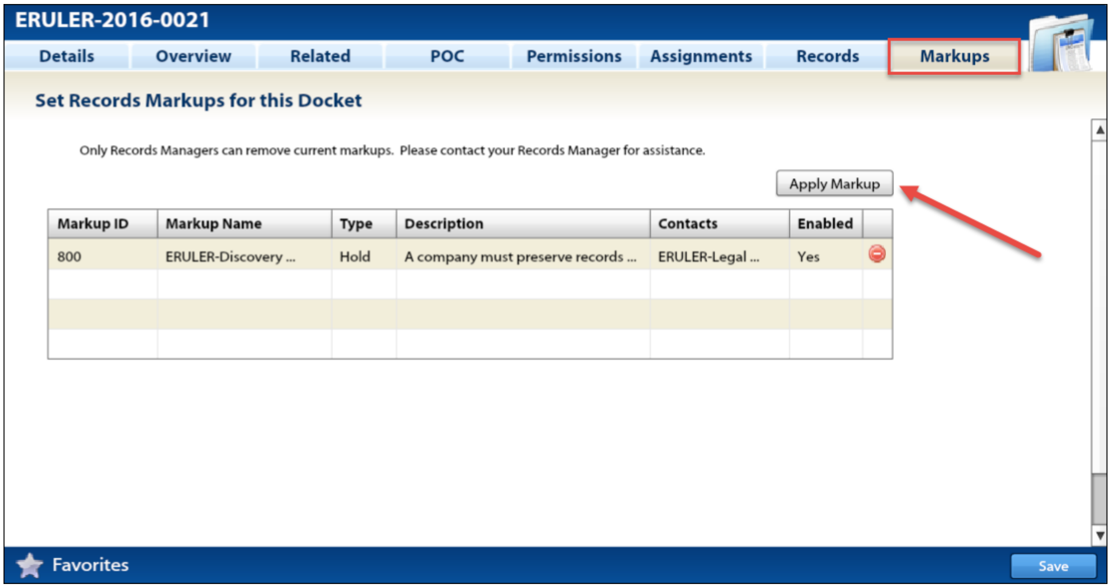

Figure 9: Markups Tab

Applying a Markup

1. Click the **Apply Markup** button above the Markups table.
2. From the **Select a Retention Markup** pop-up window, pick the appropriate option from the list and click Ok.

   Note: Records Managers and Admins or Docket Managers with delegated Markup Administration capabilities can create new markups in the Admin Module.

3. Click the icon to remove a current markup.
4. Click the **Save** button to confirm the update.

   Note: Only Records Managers can remove current markups.

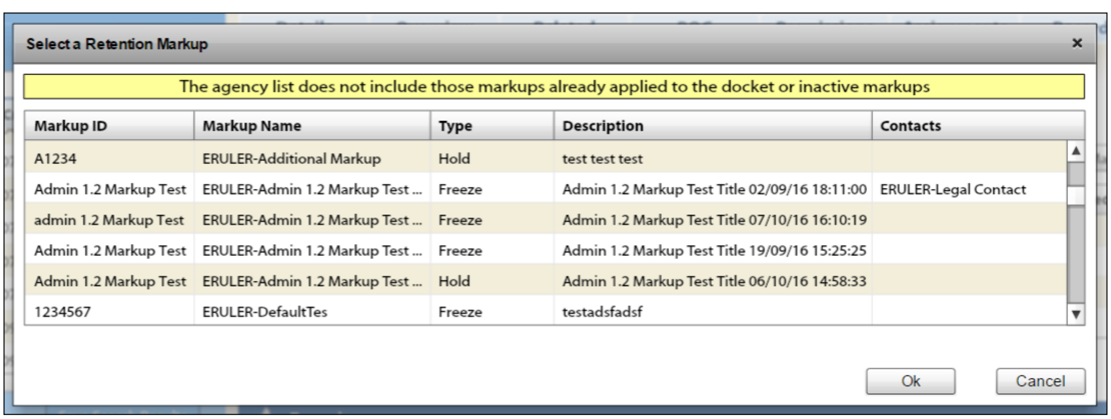

Figure 10: Select a Retention Markup Pop-up Window

Notes

Managing Records at the Document Level

Declaring Records

Authorized users are able to declare Documents added to each Docket as records.

Auto Declaration of a Record

Documents are automatically declared a record when the FR Document (i.e. Notice, Rule, Proposed Rule, Other) is moved from the FR Feed to the Docket and when Documents are posted to Regulations.gov.

Manually Declaring a Record

Authorized users can manually declare a Document a record in the following scenarios:

- The Document is declared a record, but will never be posted
- The Document will be restricted
- The Document is un-declared and needs to be re-declared a record

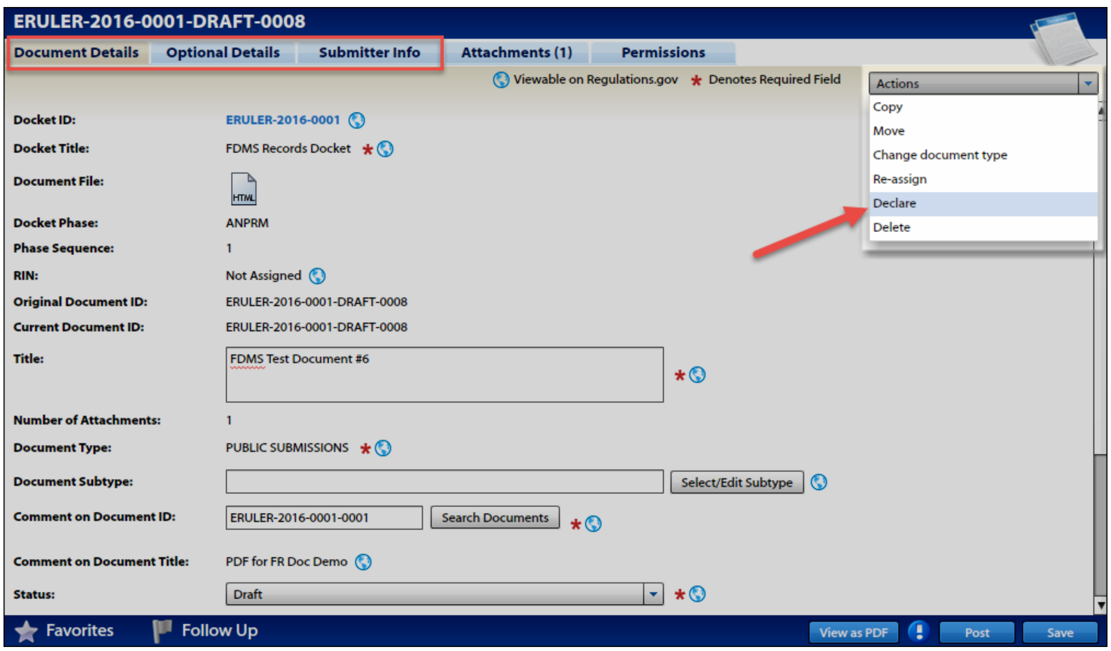

Figure 11: Manually Declaring a Record

Manually Declaring a Record

1. Select the **Declare** option from the actions dropdown on either the Document Details, Optional Details, or Submitter Info tabs.
2. The Records tab displays.

Note: Documents can be in any status except Pending Post to manually declare a record.

Notes

Manually Un-declaring a Record

Authorized users can manually un-declare a Record in the following scenarios:

- The Document is declared as a record but not posted
- The posted Document has been withdrawn from Regulation.gov
- A Markup has not been applied to the Docket
- The Primary document is un-declared as a record

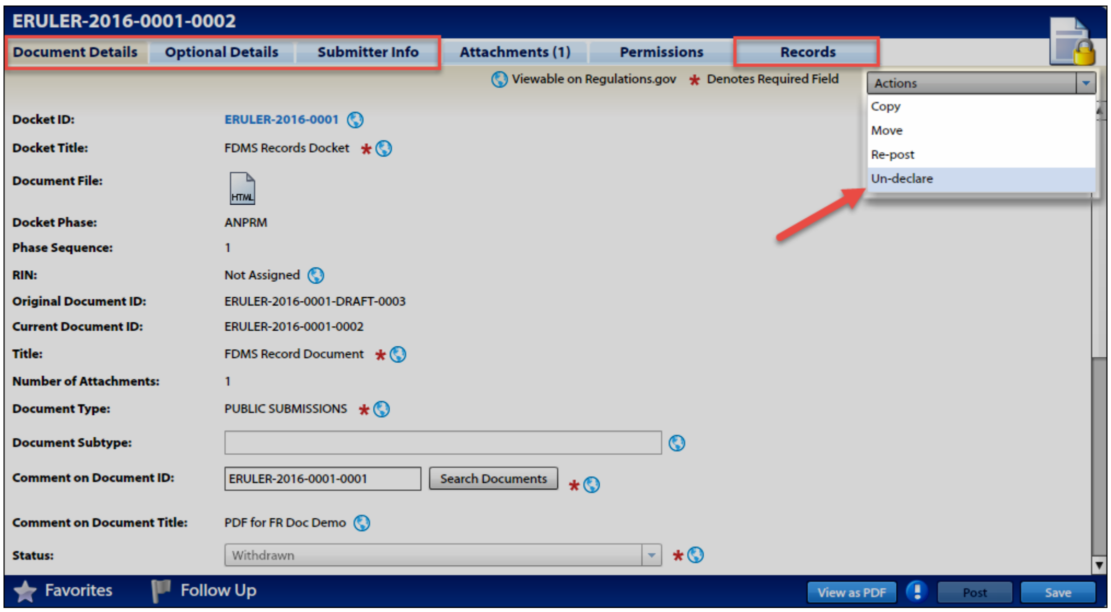

Figure 12: Manually Un-declaring a Record

Manually Un-declaring a Record

1. Select the **Un-declare** option from the actions dropdown on either the Document Details, Optional Details, Submitter Info, or Records tabs.
2. The **Un-declare Document Record** pop-up window displays.
3. Select an option from the **Reason for Un-Declaring** dropdown.
4. Enter an explanation for un-declaring the record (optional).

   *Note: If Other is selected, the **Explanation for Un-Declaring** text box becomes required.*

5. Click **Ok** to confirm the action. Click **Cancel** to abort the action.
6. The Records tab is removed from the document management tabs.

   Note: Once the record is un-declared, the Records ID is removed.

Notes

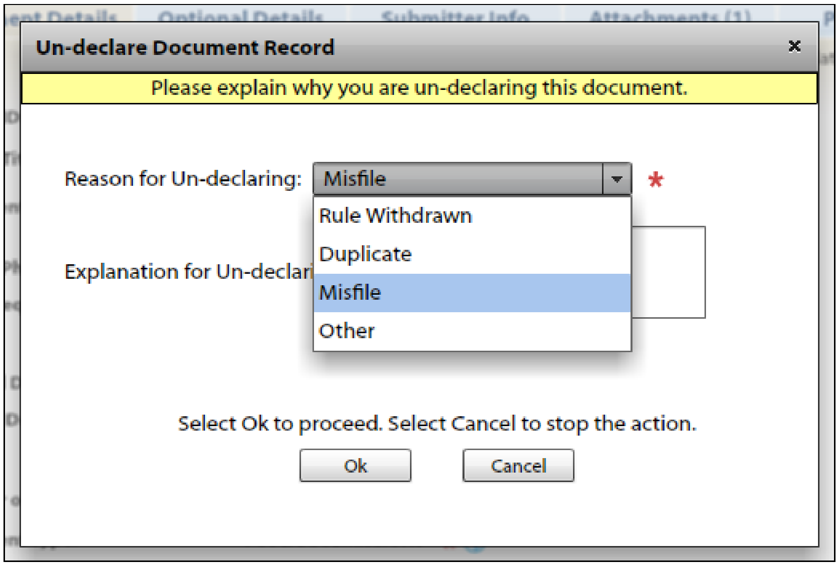

Figure 13: Un-declare Document Record Pop-up Window

Records Tab

The Records tab is available once the Document has been declared a record. It displays the record metadata (the fields and attributes associated with a Docket or Document), including the Record ID which is only displayed on the Records tab. The Date Filed field indicates the date the document was declared a record. The Records Manager and users with Records Management capabilities have the ability to update metadata on the Records tab.

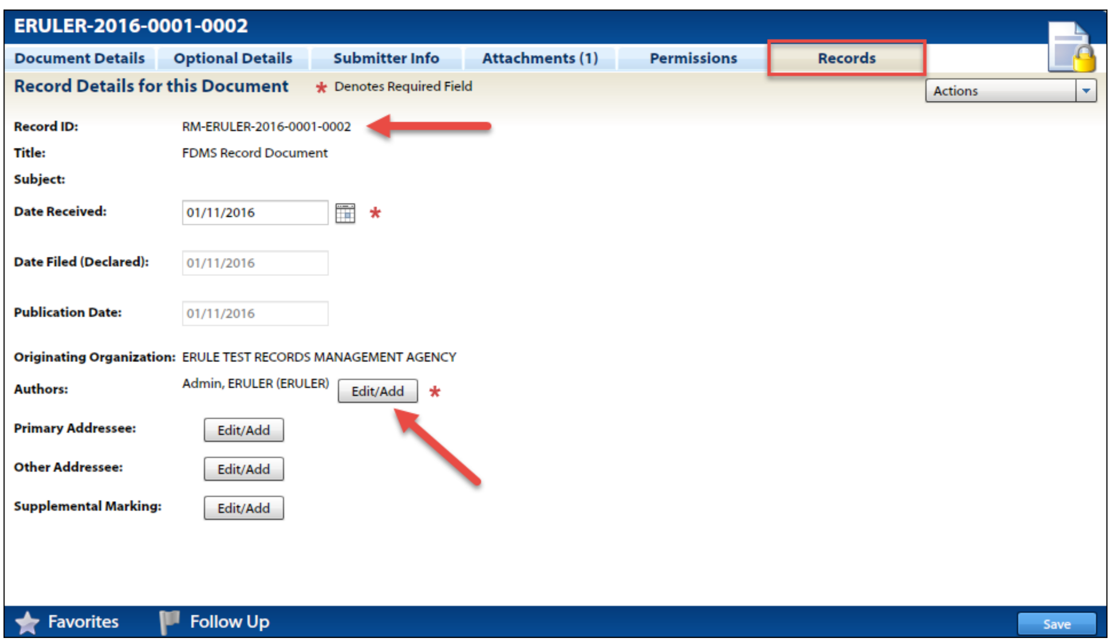

Figure 14: The Records Tab

Notes

Editing/Adding Authors, Addressees, and Supplemental Markups

7. Click the **Edit/Add** button to add or edit current information for the desired field.
8. The Edit/Add author pop-up window displays.
9. Enter new information in the text box at the top of the window and click the **Add** button.

   Note: Multiple Authors, Addressees, and Supplemental Markings can be applied to each record.

10. Use the additional action options (**Move Up, Move Down, Edit, Remove, Remove All**) to modify the list.

    Note: For multiple entries, use the Move Up/Move Down options to modify the order in which they appear on the Records tab.

11. Click **Ok** to return to the Records tab screen and click **Save** to confirm the updates.

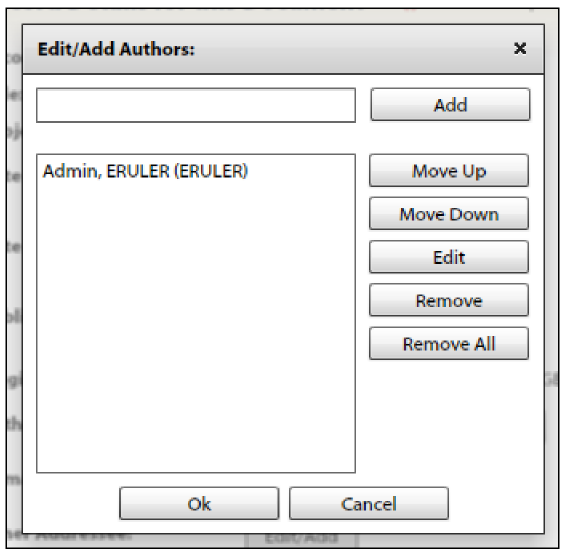

Figure 15: Edit/Add Authors Pop-up Window

Notes

Reports

The **Reports** module allows users to access **Records** reports as well as **Standard** pre-defined reports and the **Summary** module. The module can be accessed via the link in the top tool bar.

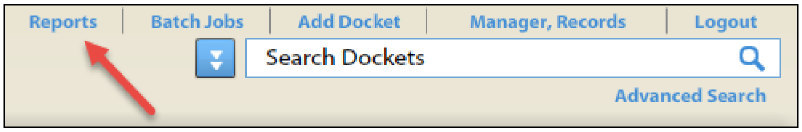

Figure 16: Reports Link

Records Reports

A number of pre-defined records reports are available to query specific information in FDMS.

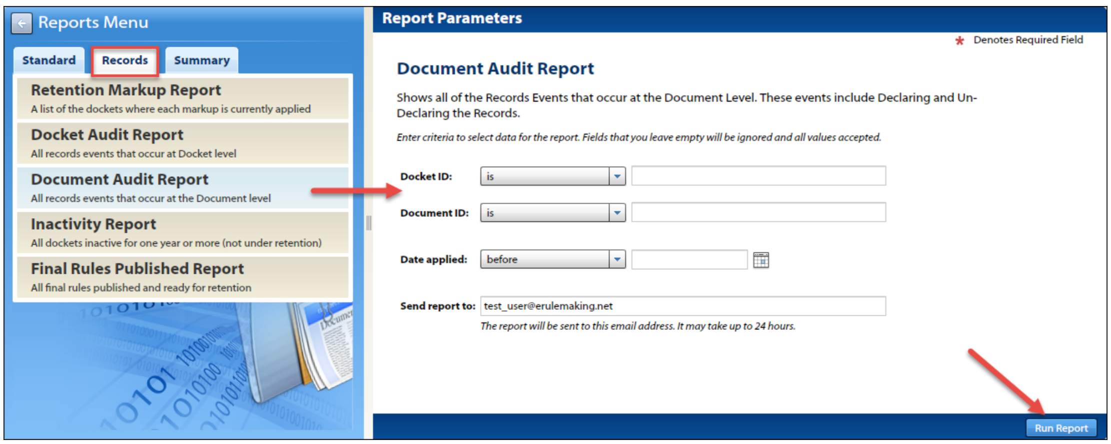

Figure 17: Records Reports Menu

Records Reports

1. Click the **Reports** link located on the top right of the Homepage.
2. Select the middle tab to display the **Records Reports Menu** on the left and the **Reports Parameters** on the right.
3. Select the desired report from the **Records Reports Menu**.
4. Enter/select the applicable criteria for the selected report.
5. Click the **Run Report** button to send to the email address provided.

Note: The report could be received in 15 minutes, or could take up to 24 hours depending on the volume of requests at that time.

Note: Please refer to the Docket Manager user guide for more information on Standard and Summary Reports.

Notes

Report Terms and Definitions

- **Retention Markup Report:** Provides a list of the Dockets where each Markup is currently applied.
- **Docket Audit Report:** Shows all of the Records Events that occur at the Docket Level. These events include Retention Policies Set, Markups Applied, and Retention Dates Set (Retention Started).
- **Document Audit Report:** Shows all of the Records Events that occur at the Document level. These events include Declaring and Un-Declaring the Records.
- **Inactivity Report:** Shows all Dockets that are not under Retention and have been inactive for at least one year, based on the date the last Record was Declared.
- **Final Rules Published Report:** Shows all Final Rules that have been published as an indicator for those Rulemaking Dockets that are ready for retention.

Notes

FDMS Resource Center

The FDMS Resource Center provides users with information on upcoming trainings, special features of the system including Records functionality, pending release activities, and FDMS best practices. To suggest enhancements to the system, users can download an FDMS CCB request form and submit it to the CCB chairperson.

Figure 18: General Information Navigation Bar

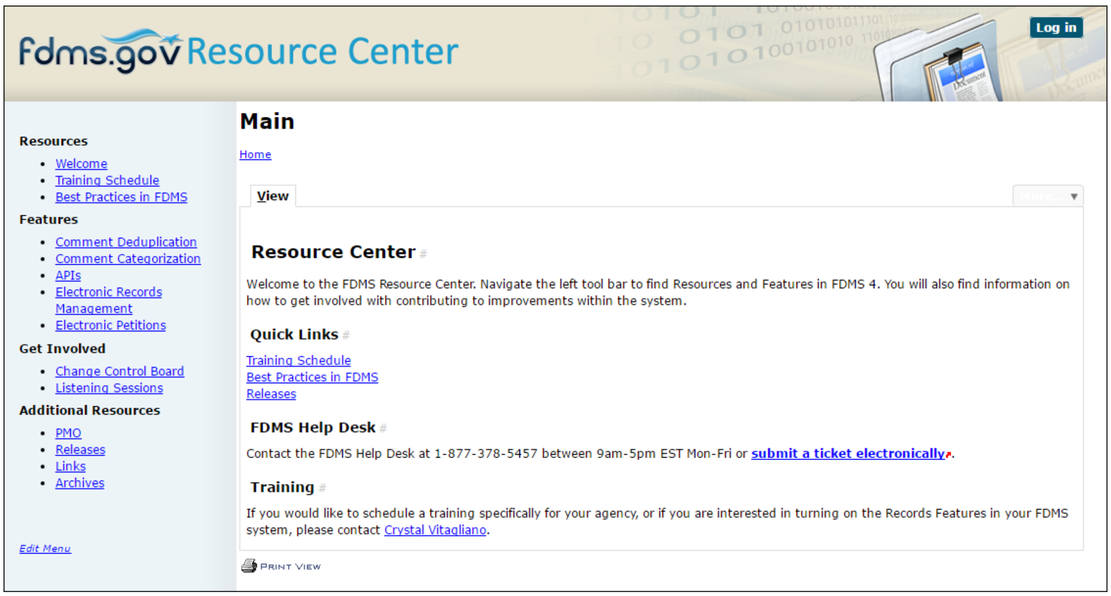

Figure 19: Resource Center